

From: Ulysses T. Ware

To: The Hon. District Judge Edgardo Ramos

Date: July 29, 2021

RE: Please file the enclosed pleading on the 04cr1224 and 05cr1115 (SDNY) dockets

(#51) re Exhibit #50 FINRA's certification of unregistered broker-dealer status for Alpha Capital, AG, and the 02cv2219 (SDNY) plaintiffs. Dispositive undisclosed and suppressed Brady exculpatory evidence.

/s/ Ulysses T. Ware

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(#51) re Exhibit #50 FINRA's certification of unregistered broker-dealer status for Alpha Capital, AG, and the 02cv2219 (SDNY) plaintiffs. Dispositive undisclosed and suppressed Brady exculpatory evidence.

Case Nos. 05cr1115 (SDNY) and 04cr1224 (SDNY) (#50)

Submitted on July 29, 2021, to: [Pro SE Filing@nysd.uscourts.gov](mailto:Pro_SE_Filing@nysd.uscourts.gov)
ChambersNYSDRamos@nysd.uscourts.gov

/s/ Ulysses T. Ware

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**IN THE UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK**

**United States of America, et al.,
Plaintiff, Respondent,
Cross Petitioner,**

v.

**Ulysses T. Ware, et al.,
Defendant, Petitioner,
And Cross Respondent.**

(#51) re Exhibit #50 FINRA's certification of unregistered broker-dealer status for Alpha Capital, AG, and the 02cv2219 (SDNY) plaintiffs. Dispositive undisclosed and suppressed Brady exculpatory evidence that renders the government's 04cr1224 indictment's Count I (GX-7), Count II (GX-11), and Count III (GX-24) null and void ab initio.

Certificate of Service

I Ulysses T. Ware certify that I have this 29th day of July 2021 served the following DOJ employees, to wit:

AUSA Melissa Childs, AUSA John M. McEnany, Acting USA Audrey Strauss, AUSA Jeffrey R. Ragsdale, Counsel, DOJ's Office of Professional Responsibility
The Hon. USAG Merrick Garland; and The Admin. Office of the U.S. Courts, Executive Director.

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Exhibit #50-1

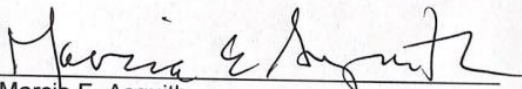
FINRA's certification of unregistered broker-dealer status for each of the 02cv2219 (SDNY) plaintiffs, which ipso facto, as a matter of law renders all judgments (GX-7) and orders (GX-11 and GX-24) entered in 02cv2219 null and void ab initio, and unlawful; thus, as a matter of law annulled and abrogated the 04cr1224 indictment and judgments of conviction and sentence as moot.

CERTIFICATION OF NO FINRA BUSINESS RECORDS

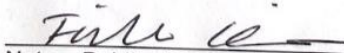
I, Marcia E. Asquith, being first duly sworn, depose and state as follows:

1. I am the Executive Vice President, Board and External Relations. In that capacity, I oversee the functions of the Office of the Corporate Secretary at the Financial Industry Regulatory Authority, Inc. ("FINRA"). I am familiar with and am a custodian of FINRA business records, including interpretations, policies and rules adopted by the FINRA Board of Governors.
2. No documents related to the firms listed below were prepared, kept and maintained in the ordinary course of FINRA's business:

- a) Alpha Capital, AG
- b) Stonestreet, L.P.
- c) Markham Holdings, Ltd.
- d) Amro International, S.A.
- e) LH Financial Services


Marcia E. Asquith
Executive Vice President, Board and External
Relations and Corporate Secretary

Subscribed and sworn to before me this 17th day of May, 2021.


Notary Public, District of Columbia

My commission expires: 5/31/2021



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